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Product Description

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FEDERALLY PROVIDED SERVICES AND APPLICATIONS INTEGRATION

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The Department of Financial Institutions (DFI) regulatory responsibilities involve various activities which are conducted jointly with federal counterpart agencies. This mutually beneficial collaboration gives the department access to federally provided services and applications which are primarily funded by these large Federal agencies. Proper integration of these services and applications allows the department to work seamlessly on joint exams gaining efficiencies and saving on application development and administration costs.

Federal and National organizations referred to in the product description are the Federal Deposit Insurance Corporation (FDIC), the National Credit Union Association (NCUA), the Conference of State Bank Supervisors (CSBS), the Federal Reserve Board (FRB), the Financial Crimes Enforcement Network (FinCEN), and the Consumer Financial Protection Bureau (CFPB).

The hours of support required for Federally Provided Services and Applications Integration are listed below.

Application	Support Hours	Days of Week
Federal Resources Integration and Support	8:00am - 5:00pm	Monday - Friday

Product Features and Descriptions

Feature	Description
Federal / State Systems Interoperability Support	Ensure DFI IT hardware and software can properly interoperate with important federally provided services and applications. This may include DFI adhering to hardware and software upgrade requirements matched to key federally provided applications.

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FDIC Resources Integration Support

Assist DFI in securing access to and provide integration support of applications and data resources available from the FDIC.

FDIC applications and data resources used by the agency are:

- **GENESYS** – GENeral Examination System, primary examination application jointly developed by the FDIC, FRB, and State Banking agencies used to produce the report of examination.
- **ETS-ALERT** – Exam Tools Suite - Automated Loan Examination Report Tool, application to assist examiners in the loan review function during examinations.
- **FDIC Extranet** – Secure web portal which provides access to various FDIC systems and data.
- **XDS** – eXamination Download System, web application used to download examination data which feeds into GENESYS.
- **CUSTOM Download** – Web application used to create custom data queries which feed into DFI analysis reports.
- **EFESBD** – Examination File Exchange for State Banking Departments, web application use to establish a secure email and file exchange portal between financial institutions and state & federal regulatory agencies.
- **IRRSA** – Interest Rate Risk Standard Analysis, web application used to produce interest rate risk reports and charts.
- **RECON** – Regional Economic Conditions, web application that provides examiners with local, up-to-date information on business conditions and economic trends that affect financial institutions.
- **SCOR** – Statistical CAMELS Offsite Rating, web application used as an offsite rating tool and incorporates statistical techniques to monitor risk in the banking and thrift system.
- **PRO** – Performance Reports Online, web application that provides access to Bank and Bank Holding Company performance reports.
- **IER** – Interagency Exam Repository, web application that interfaces with a secure data repository in which examiners can upload and download examination files and reports.
- **FDIC Reference Library** – Digital versions of regulation and examination reference information pertaining to Banks.
- **iBEAT** – Interagency Bank Secrecy Act (BSA) / Anti Money Laundering (AML) Examination Analysis Tool, application that that assess BSA/AML risk by analyzes currency transaction reports, suspicious activity reports, and other data downloaded from the Web Currency and Banking Retrieval systems.
- **RADD** – Regional Automated Document Distribution and Imaging, a secure system to electronically distribute documents with state agencies.

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FRB Resources Integration Support	<p>Assist DFI in securing access to and provide integration support of applications and data resources available from the FRB.</p> <p>FRB applications and data resources used by DFI are:</p> <ul style="list-style-type: none"> ➤ BOND – Banking Organization National Desktop, web application designed to support and provide electronic infrastructure for a risk-focused examination and supervision program for large domestic and foreign banking organizations. ➤ PRISM – Performance Report Information and Surveillance Monitoring, web application that provides easy access to financial and surveillance data to supervision analysts and examiners. ➤ NED – National Examination Database, web application that provide access to financial, structural, and supervisory databases maintained by the FRB. ➤ CDTR – Central Document and Text Repository, a secure system to electronically share all applicable applications and notices with state agencies.
NCUA Resources Integration Support	<p>Assist DFI in securing access to and provide integration support of IT equipment, applications, and data resources provided by the NCUA.</p> <p>NCUA equipment, applications, and data resources used by DFI are:</p> <ul style="list-style-type: none"> ➤ NCUA Laptop – Laptop and peripheral equipment provided by the NCUA to facilitate shared regulatory responsibilities. The laptop and installed applications provide secure access to NCUA data and provide a mechanism to process and review state chartered credit union call report information. ➤ NCUA Credit Union Online – Web based application used to upload, download, and review credit union call report data. ➤ Examination Download – XML data file that feeds into DFI's Credit Union Exam Workbook (CUEW) application. ➤ AIRES – Automated Integrated Regulatory Examination Software, main examination application used by the NCUA. DFI incorporates some pieces of this examination tool into their own in-house credit union examination application. ➤ NCUA Reference Library – Digital versions of regulation and examination reference information pertaining to Credit Unions.
CSBS IT Representation and Collaboration	<p>Represent DFI in the CSBS Information Technology sub group. CSBS is a national association that acts as a clearinghouse for ideas to solve common problems of state bank regulators and represent the interests of the state banking system to federal and state legislative and regulatory agencies.</p> <p>DFI Representation includes:</p> <ul style="list-style-type: none"> ➤ Provide IT input and direction on state and federal collaborative applications and examination systems. ➤ Attending the CSBS Annual Technology Seminar. ➤ Participate on the CSBS Technology Committee which includes monthly conference calls and some face-to-face meetings. ➤ Share IT best practices with other equivalent DFI state agencies. ➤ Complete CSBS sponsored IT surveys.
Secure Email Coordination	<p>Assist DFI in establishing secure email functionally with federal counterpart agencies and provide IT resources to help facilitate secure communications.</p>

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Mortgage Licensing System	Assist DFI in access and integration of the Nationwide Mortgage Licensing System (NMLS). NLMS is a web-based licensing system for the residential mortgage industry that will improve supervision of the mortgage industry, streamline the licensing process for mortgage companies and professionals, and enhance consumer protection.
FinCEN & CFPB Collaboration Support	Assist DFI in securing access to and provide integration support of applications and data resources in connection to their regulatory relationship with FinCEN and the CFPB.

Features Not Included

Feature	Explanation
Federal Services and Applications Support	Support and maintenance issues identified with federally provided services and applications will be handled by their respective federal provider and associated help desk.

Rates and Billing

There are no specific rates or billings associated with this product. This product and related service offering are currently being provided by the IT Director assigned to DFI. If additional resources beyond the current IT Director support are needed and approved to integrate federally provided services and applications, DFI will be billed at the approved DTS.

Network Support	Monitoring, troubleshooting and support to ensure uptime and sufficient performance throughout DFI networks.	Refer to DTS Rate for Network Services.
Security	Enterprise Information Security encompasses the provisioning and management of information security services and solutions to all Executive Branch agencies.	Refer to DTS Rate for Enterprise Security.
Enterprise Hosting Services	Enterprise Hosting Services is the management of servers, storage, backup and restore for executive branch agencies within the State. It includes installation, deployment, maintenance and support of the operating system (OS), web server and application server software.	Refer to DTS Rate for Enterprise Hosting Services.
Desktop Support	Physical replacement and maintenance of Desktops. This includes peripherals (printer, scanner, slip printer, cash drawer). Actual purchases made by DFI.	Refer to DTS Rate for Desktop Support / Service Desk.
Application Support	The application will be supported during normal business hours. Should the agency CEO request 24x7 emergency support for a period of time the extra hours will be billable at the DTS application maintenance rate.	See DTS Approved Rate

Ordering and Provisioning

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Contact the agency IT Director for application integration and data access. All pertinent service requests and problems will be documented and tracked in DTS' enterprise application known as Service Now.

DTS Responsibilities

1. Understand agency business, operational environment, interaction with federal counterpart agencies, and federal product and services offerings.
2. Establish and maintain requisite contact with appropriate federal IT personnel to facilitate effective resource integration.
3. Select the technologies used for federal resource integration and the best method for applying those technologies to meet the agency's needs and budget.
4. Identify technical requirements and ensure resources are available and cost effective.
5. Coordinate any contracts, agreements, security clearance, and other efforts in support of federal resource access and integration.
6. Perform first round testing to ensure federally provided resources are functioning correctly and properly integrated as intended.
7. Assist in resolving any problems that impact day-to-day operation of resource integration.
8. Provide business consultation on problem resolutions and future technical directions that may impact agency applications and integration of federally provided resources.
9. Manage changes and add federal resources approved and prioritized by the agency.
10. Provide training to DFI on federal resource use and agency integration.
11. Facilitate IT Director's involvement in the CSBS IT related activities and educationally training on federal resource functionality and use.
12. Work with the agency to help ensure licensing compliance on software required by the applications.

Agency Responsibilities

1. Provide business requirements and business process input for federally provided services and applications integration.
2. Assist DTS personnel in securing access to federal systems, resources, and data repositories.
3. Responsible for user testing activities as a supplemental level of testing for business side system functionality and accuracy on federally provided services and applications integration.
4. Keep the IT Director informed on agency business issues that may affect the agency's interaction with federally provided services and applications or require significant DTS resources to integrate federally provided resources in the future.
5. Provide the IT Director with federal resource usage education and training and pay for related traveling costs as needed and approved by the agency.
6. Ensure licensing compliance on software required by the applications.

DTS Service Levels and Metrics

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In an effort to improve service to our customer agencies, DTS will measure and report on the following enterprise metric goals:

- Application Availability
- Resolution Time
- Initial Response
- First Contact Resolution
- Customer Satisfaction Surveys

Application Availability:

Application availability measures DTS' efforts to ensure agency key business applications meet the percent of availability goals identified in the agency Service Level Agreements (SLA). DTS will determine application availability based upon the collective measurement of the configuration items (both hardware and software) which are determinant to supporting the agency business services applications. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months and posted to the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
Federal Resources Integration and Support	95% During normal business hours

Times exclude those tickets in a "Pending" status waiting a known bug fix.

Resolution Time:

Resolution time measure DTS' efforts to resolve customer incidents within the timelines set below based upon critical, high, medium and low priorities. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Total Time to Resolution	Target – % of Tickets Meeting Priority Timelines
Low priority – 6 Business hours	90%
Medium priority – 4 Business hours	90%
High priority – 3 Clock hours	90%
Critical priority – 3 Clock hours	90%

Initial Response:

Initial response measure DTS' efforts to respond to customer incidents within the timelines set below based upon critical, high, medium and low priorities. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Time to Initial Response	Target – % of Tickets Meeting Priority Timelines
Low priority – 1 Business hour	85%
Medium priority – 1 Business hour	85%
High priority – 1 Clock hour	90%
Critical priority – 30 Clock minutes	95%

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First Contact Resolution:

First contact resolution measures DTS' efforts to resolve customer incidents on initial contact with either our help desk or a technical specialist. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
First Contact Resolution	65% of all incidents reported resolved on initial contact

Customer Satisfaction Surveys and Reporting:

All users/customers whose technical incidents are resolved by DTS staff will be given the opportunity to respond to an on-line survey regarding their level of satisfaction with the support received from DTS. Responding to the survey is voluntary.

The chart below identifies DTS enterprise goals for customer satisfaction. Cumulative monthly reports will be created displaying the customer's level of satisfaction with DTS support. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Customer Satisfaction Target

Metric Description	Target
Average level of satisfaction with resolution efforts	≥ 4.5 on a scale of 0 - 5
Percentage of respondents expressing satisfaction (vs. dissatisfaction)	93% satisfied

Service Level Supplemental

Due to the cooperative nature of federal resource integration, incident response time and resolution of problems may be dependent on federal agency help desk support service level. Therefore, the overall measures of success of this service may reflect metrics outside DTS's direct control and responsibility.